

**DEMOCRACY PREP HARLEM CHARTER SCHOOL
ANNUAL COMPREHENSIVE REVIEW REPORT**

2012–2013 SCHOOL YEAR

Part 1: School Overview & History

School Overview and History

Democracy Prep Harlem Charter School (DPH) is a middle school serving approximately 335 students¹ in grades 6-8 during the 2012-2013 school year. It opened in 2010-2011, and is under the terms of its first charter. The school's projected full grade span upon renewal and approval is K-12, which it's expected to reach in 2019-2020.² The school is located in private³ facilities in Manhattan within CSD 5.⁴

The table below details the school's performance on the NYC DOE Progress Report.⁵

Progress Report Grade	2008-09	2009-10	2010-11	2011-12
Overall				A
Progress				A
Performance				A
Environment				A
Closing the Achievement Gap Points				3.1

Democracy Prep Harlem Charter School enrolls new students in grades 6. There were 1,575 students on the waitlist after the Spring 2012 lottery.⁶

The average attendance rate for the 2012-13 school year to date is 94.4%.⁷

On the 2011-2012 NYC DOE School Survey, the school scored Above Average on the Safety & Respect section, Above Average on the Communication section, Average on the Engagement section, and Well Above Average on the Academic Expectations section. Seventy percent of the school's parents, 100.0% of the school's teachers, and 96.0% of the school's eligible students responded to the survey.⁸

DPH has had one school leader, Campus Director Emmanuel George, in its three years of operation.

Democracy Prep Harlem Charter School is part of the Democracy Prep Public Schools network, a charter management organization (CMO). The CMO provides an overarching Superintendent, back office support, institutional goals aligned to network goals; student assessment data gathering, and school policies (e.g., HR) among other support services. DPH, working with and through the network, manages student information via ATS, orders supplies, and compiles its quarterly financial reports (in conjunction with the DPH's Board of Trustees Finance Committee). The fee structure is based on an initial 15% of public non-competitive revenues with an annual reduction of ½%.

¹ Enrollment based on ATS data from 3/8/13.

² NYC DOE internal data.

³ NYC DOE internal data.

⁴ NYC DOE Location Code Generating System database.

⁵ NYC DOE Progress Report – <http://schools.nyc.gov/progressreport>

⁶ Self-reported information from school-submitted data collection form.

⁷ Self-reported information from school-submitted data collection form.

⁸ NYC DOE School Survey – <http://schools.nyc.gov/survey>.

Part 2: Annual Review Process Overview

Rating Framework

The New York City Department of Education (NYC DOE) Charter Schools Accountability & Support Team (CSAS) performs a comprehensive review of each NYC DOE-authorized charter school to investigate three primary questions: is the school an academic success; is the school a fiscally sound, viable organization; and is the school in compliance with its charter and all applicable laws and regulations? To ascertain matters of sustainability and strategic planning, CSAS inquires about the school's plans for its next charter term.

This review is conducted by analyzing student performance data and collecting and evaluating school-submitted documents during the 2012-2013 school year. The report outlines evidence found during this review.

As per the school's monitoring plan, CSAS may also conduct a visit to a school. Visits may focus on academic outcomes, governance, organizational structure, operational compliance, fiscal sustainability or any combination of these as necessary.

In addition, a school's charter goals are reviewed. The progress that a school has made towards achieving its goals at this particular point during its charter period is noted. However, as this is an interim review before the end of the charter term, progress towards goals is not used as part of this evaluation.

Essential Questions

Is the school an academic success?

To assess whether a school is an academic success, CSAS considers performance measures, including, but not limited to the following:

- Overall NYC DOE Progress Report score,
- New York State ELA and Math results and/or New York State Regents exams,
- ELA and Math proficiency compared to the district for elementary and middle schools, and graduation rates compared to the city for high schools,
- New York State Alternate Assessment (NYSAA) or other approved alternate assessments, and
- Performance data pertaining to college and career readiness.

Academic success is rated as **Demonstrated, Partially Demonstrated, or Not Yet Demonstrated**. If a school does not yet have a NYC DOE Progress Report, it is rated as Not Yet Demonstrated.

Is the school a fiscally sound, viable organization?

To assess whether a school is a fiscally sound, viable organization, CSAS focuses on three areas: Governance Structure & Organizational Design, School Climate & Community Engagement, and Financial Health. This includes an analysis of the school's audited financial statements, based on the NACSA (National Association of Charter School Authorizers) Financial Framework⁹.

CSAS also considers a variety of supporting materials and data, including but not limited to the following:

- Board of Trustee bylaws,
- Board of Trustee meeting minutes,
- Annual Reports submitted by schools to New York State Education Department (NYSED),
- NYC DOE School Survey,
- Data collection sheets provided by schools,
- Student, staff, and Board turnover,
- Authorized enrollment numbers, and

⁹http://www.qualitycharters.org/assets/files/images/stories/pdfs/publications/Performance_Framework_Fall_2012_Draft.pdf, page 38-59

- Annual financial audits.

A school's Governance Structure & Organizational Design and Climate & Community Engagement are rated as **Developed, Partially Developed, or Not Yet Developed**. A school's Financial Health is rated to indicate whether there are concerns about the near-term financial obligations and the financial sustainability of the school.

Is the school compliant with its charter and all applicable law and regulations?

As it pertains to compliance, CSAS identifies areas of compliance and noncompliance with all applicable laws and regulations.

Staff Representatives

The following staff representatives participated in the review of this school's documents as detailed above:

- Sonya Hooks, DOE
- Andrea McLean, DOE
- Keisha Womack, DOE

Part 3: Findings

Summary of Findings

Based on CSAS review, the following findings are made. To date, Democracy Prep Harlem Charter School:

- has demonstrated academic achievement and progress (p.6-8).
- has a partially developed governance structure and organizational design (p. 9).
- has developed a stable school culture (p. 9).
- is in a strong position to meet near-term financial obligations and is financially sustainable based on current practices (p. 10).
- is compliant with some applicable laws and regulations but not others (p.11).
- has plans to expand, serving elementary and high school students by the 2013-2014 school year (p. 12).

This review included a desk audit, a self-evaluation completed by the school, and follow up communication via phone and email.

Essential Question 1: Is the School an Academic Success?

To date, the school has demonstrated academic achievement and progress.

- DPH has two years of New York State (NYS) assessment data at the time of this report.
- In 2011-2012, the percentage of students in its tested grades scoring greater than a level 3 (demonstrates proficiency):
 - 43.3% on the NYS ELA assessment
 - 74.5% on the NYS Math assessment.
- The school's overall proficiency scores were above its district of location, CSD 5, by 14.2 percentage points in ELA and 35.8 percentage points in Math.
- The school received an Overall grade of A on its 2011-2012 NYC DOE Progress Report, with an A in Student Progress and an A in Student Performance.
- In 2011-2012, the school earned 3.1 'Closing the Achievement Gap' points of extra credit on the NYC DOE Progress Report.

Based on document review, the following was noted:

- The school reports proficiency scores for grade six to exceed those of their peers across CSD 5 by 26.2% on the 2011-2012 NYS Math assessment.
- The school reports proficiency scores for grade seven to exceed those of their peers across CSD 5 by 46% in Math and by 30.1% in ELA on the 2011-2012 NYS Exams.
- The school reports implementing new systems and policies to meet the needs of students who are below grade level in an effort to meet academic charter goals.
 - Specific policies and systems planned for use were not reported by the school.

Progress Towards Attainment of Academic Goals.¹⁰

- DPH is making progress, by partially meeting two academic charter goals to date. One of 7 academic charter goals, listed below, has been met.
 - Each year, the percent of students performing at or above level 3 on the New York State Math Exam in each tested grade will, in the majority of grades, exceed the average performance of students tested in the same grades of Community School District 5.

¹⁰ Goal Analysis is considered a neutral point and is not used as part of the evaluation.

Democracy Prep Harlem Charter School

Percent of Students Scoring at or above Level 3 - Whole School

<u>ELA</u>	<u>2009</u>	<u>2010</u>	<u>2011</u>	<u>2012</u>
Democracy Prep Harlem Charter School			48.6	43.3
CSD 5*			30.1	29.1
<u>Math</u>	<u>2009</u>	<u>2010</u>	<u>2011</u>	<u>2012</u>
Democracy Prep Harlem Charter School			70.6	74.5
CSD 5*			39.7	38.7

*CSD data represents only common testing grades, for all years presented

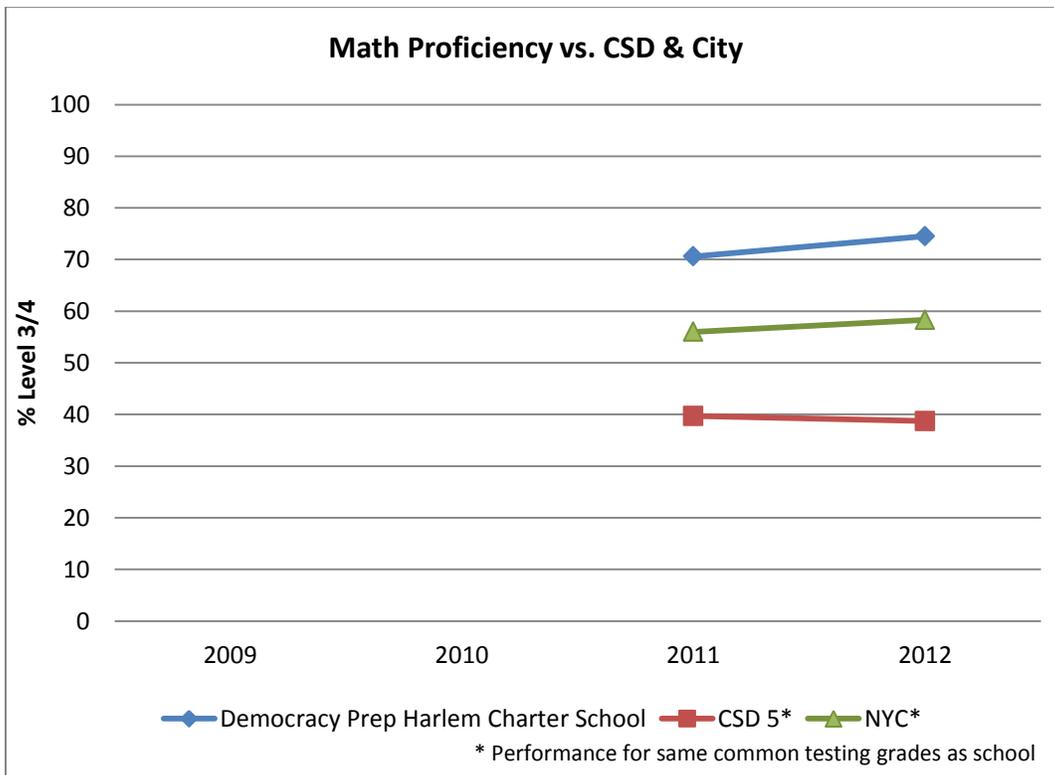
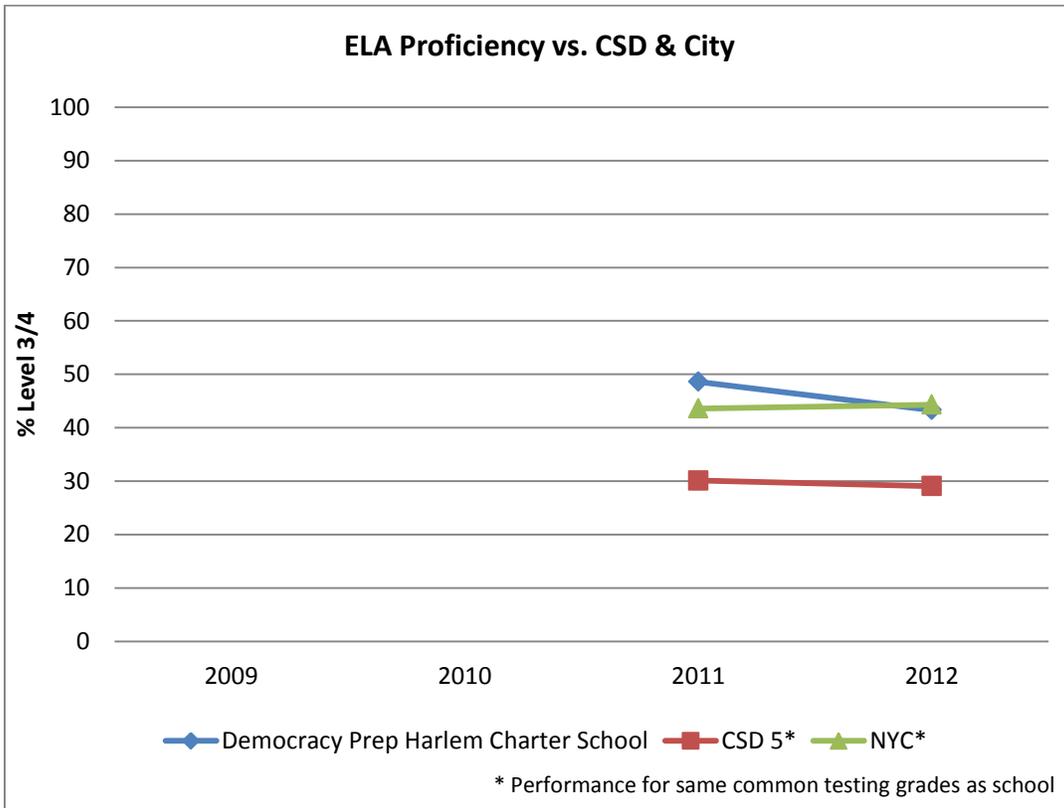
Percent of Students Scoring at or above Level 3 - By Grade

Grade 6

<u>ELA</u>	<u>2009</u>	<u>2010</u>	<u>2011</u>	<u>2012</u>
Democracy Prep Harlem Charter School			48.6	30.6
CSD 5*			30.1	31.6
<u>Math</u>	<u>2009</u>	<u>2010</u>	<u>2011</u>	<u>2012</u>
Democracy Prep Harlem Charter School			70.6	65.8
CSD 5*			39.7	39.5

Grade 7

<u>ELA</u>	<u>2009</u>	<u>2010</u>	<u>2011</u>	<u>2012</u>
Democracy Prep Harlem Charter School				56.7
CSD 5*				26.5
<u>Math</u>	<u>2009</u>	<u>2010</u>	<u>2011</u>	<u>2012</u>
Democracy Prep Harlem Charter School				83.8
CSD 5*				37.9



2011-2012 High School Regents Performance Results

Democracy Preparatory Charter School

Regents Exams	Average Score	% Passing	% at college ready threshold
Mathematics			
Integrated Algebra	77	94%	47%
Geometry	80	96%	56%
Algebra 2/Trig	72	83%	30%
ELA			
English	83	99%	84%
Social Studies			
US History	86	95%	
Global History	77	89%	
Science			
Chemistry	76	88%	
Physics	67	60%	
Earth Science	.	.	
Living Environment	80	94%	
Languages			
Languages Other Than English	.	.	

Essential Question 2: Is the School a Fiscally Sound, Viable Organization?

Governance Structure & Organizational Design

To date, the Board of Trustees has a partially developed governance structure and organizational design.

- The Board has clear lines of accountability from school leadership to the Board, as evidenced by the Principal's Report and Network Report and recorded in meeting minutes.
- The Board has appropriate and timely access to legal counsel.
- The Board votes consistently demonstrate a quorum, as recorded in meeting minutes.
- The Board has provided CSAS with timely submission of reporting documents.
- To date, the Board has held seven of nine meetings this school year, as outlined by the Board's bylaws.
- The Board has experienced 38% turnover, less than 50% since the last school year.
- The Board has eight active members, which aligns to the number of members outlined in the Board's bylaws.
 - Per the school's 2011-2012 Annual Report, one Board member has not submitted conflict of interest and financial disclosure forms.
- The Board's bylaws outlines the establishment of six committees; as evidenced by meeting minutes, only one of the Board's six committees appears to be active.
 - To date, the Finance committee is evidenced by reports in meeting minutes.
- The Board has not filled all officer positions outlined in the Board's bylaws.
 - To date, the Board has not filled the positions of Vice-Chair and Clerk.

School Climate & Community Engagement

The school has developed a stable school culture.

- The school did not experience turnover of instructional staff at the start of the 2012-2013 school year.
 - The school reports 1 of 20 teachers departed at the end of 2012-2013, leaving the possibility of the one teacher who left to return if so desired.
- The school's administrative staff turnover was 20% at the start of the 2012-2013 school year.
- The school's parent NYC DOE School Survey response rate was 70%, compared to the city average of 53%.
- The school's staff NYC DOE School Survey response rate was 100%, compared to the city average of 82%.
- The school's student NYC DOE School Survey response rate was 96%, compared to the city average of 82%.
- On the 2011-2012 NYC DOE School Survey, the school scored Above Average on the Safety & Respect section, Above Average on the Communication section, Average on the Engagement section, and Well Above Average on the Academic Expectations section.
- The school's student turnover is 14.6%.¹¹

¹¹ ACR Data Collection Form, February 2013

Financial Health

Overall, the school is in a strong position to meet near-term financial obligations and is financially sustainable based on current practices.

- The school is in a strong position to meet all its liabilities over the next 12 months.
- The school is currently meeting its debt obligations.
- The school has a good debt-to-asset ratio and is currently operating within its means.
- The school has a strong cash flow, which has trended upward.
- The school can cover over 6 months of operating expenses without the infusion of cash.
- The school is operating at a surplus indicating an ability to create a strong reserve to support ongoing growth.
- The school is exceeding its enrollment projections by 1%.
- The school received a clean audit with no material findings on its most recent audit financial statement.
- The school contracts with Democracy Prep Public Schools (DPPS) to provide management services. DPPS manages aspects of the School's operations, finance, audit and legal services coordination, fund development, communication and external affairs, teacher and leader recruitment, human resources, technology, and knowledge management.
 - In 2012-13, the School is expected to pay DPPS, as compensation for its services, a management fee equal to 14% of its noncompetitive public revenue (revenue derived from federal and state funds provided for a charter school, on a per pupil, titled funding, and special education funding basis). This excludes income from philanthropic sources.
 - The management fee started at 15% of noncompetitive public revenue in the school's first year of operation and will continue to step down by 0.5% annually until it reaches a minimum of 12%.
 - For the year ended June 30, 2012 and for the period from February 9, 2010 (inception) to June 30, 2011, the School incurred \$554,429 and \$305,883 in management fees, respectively.

Essential Question 3: Compliance with Charter and All Applicable Laws and Regulations

The school is compliant with some applicable laws and regulations but not others.

To date, the Board of Trustees is in compliance with:

- The Board membership size falls within the range outlined in the school's charter and in the Board's bylaws.
- The Board has appropriate liability insurance for officers.
- The Board has provided CSAS with timely submissions of accountability reporting documents, including:
 - Meeting minutes (to date, awaiting two months of meeting minutes),
 - Management, Staff and Board Retention report,
 - Board approved budget for upcoming year.
- The Board makes board minutes and agendas available upon request to the public prior to or at Board meetings by posting them on the school website.

To date, the Board of Trustees is not in compliance with:

- The Board has not held the required number of board meetings as outlined in the Board's bylaws.
 - To date, the Board has held seven of nine meetings as evidence by meeting minutes submitted to CSAS.
- All Board members have not submitted conflict of interest and financial disclosure forms.
 - As per the 2011-2012 New York State Education Department (NYSED) Annual Report, one Board Member has not submitted a conflict of interest and financial disclosure form.

To date, the school is in compliance with:

- The school has submitted required documentation for staff-fingerprint clearance and all staff members have appropriate fingerprint clearance.
- The school submitted required documentation and proof of teacher certification.
- The school has submitted appropriate insurance documents.
- The school has submitted a school safety plan which has been shared with the entire school community.
- The school is in compliance with NYS Section 917 law in regards to AED/ CPR certification.
- The school has submitted appropriate insurance documents.

To date, the school is not in compliance with:

- The school's immunization rate is below the 98.8% threshold established by the NYC Department of Health. The school's current immunization rate is 96.4%.

Essential Question 4: What are the School's Plans for the Next Charter Term?

As reported by the school leadership and the Board of Trustees, the following is noted:

- The DPH plans to begin serving grade nine in 2013-2014, adding one grade level each year until reaching grade twelve in 2016-2017.
- The school intends to begin serving Kindergarten in 2013-2014, adding one grade level each year with the intention of serving grades K-12. Full K-12 grade configuration will be contingent upon approval and successful renewal of the school's charter.

Part 4: Essential Questions and Accountability Framework

The CSAS Accountability Framework

To help NYC DOE authorized charter schools better understand what we mean by success for charter schools, the NYC DOE's Charter Schools Accountability and Support (CSAS) has developed an Accountability Framework build around four essential questions for charter school renewal:

1. Is the school an academic success?
2. Is the school a fiscally sound, viable organization?
3. Is the school compliant with its charter and all applicable law and regulations?
4. What are the school's plans for its next charter term?

1. Is the School an Academic Success?

1a. High Academic Attainment and Improvement

Schools that are academic successes have many of the characteristics below:

- Meet absolute performance goals
- Meet student progress goals
- Are closing the achievement gap for at risk students, including special needs and ELL students
- Are surpassing performance of DOE identified peer-schools
- Are surpassing performance district and city proficiency or better averages
- Are meeting other rigorous academic and non-academic goals as stated in school's charter

Evidence for success might include, but not be limited to, the following depending on school configurations:

- Grades 3-8 NYS ELA Results (absolute performance, individual student progress, comparative performance to similar schools, home district or city averages, progress for at-risk populations)
- Grades 3-8 NYS Math Results (absolute performance, individual student progress, comparative performance to similar schools, home district or city averages, progress for at-risk populations)
- Grades 4 and 8 NYS Science Results (absolute performance, individual student progress, comparative performance to similar schools, home district or city averages, progress for at-risk populations)
- Grades 8-12 NYS Regent Exam Results
- When applicable, NYSAA or other approved alternate assessments results
- HS 4- and 6-Year Graduation Rates (absolute and progress, overall, for at-risk student populations)
- Grades 8-12 College Readiness Credit Accumulation
- Percentage of Students Applying to and Being Admitted to College
- Percentage of Students Taking AP Courses and/or Percentage of Students Passing AP Courses
- Results on state accountability measures
- Charter School Academic and Non-Academic Goals
- NYC Progress Reports

1b. Mission and Academic Goals

Schools with successful missions and goals have many of the characteristics below:

- Have an animating mission statement that staff, students and community embrace
- Set ambitious academic and non-academic goals that entire school community knows and embraces
- Have processes for regular monitoring and reporting on progress toward school goals
- Have processes for adjusting strategies in support of goals as appropriate in response to monitoring data

Evidence for successful missions and goals might include, but not be limited to, the following:

- Mission statement, charter, external documents (parent and family handbooks, school website, etc.)
- Annual reports, school improvement plans, leadership board reports
- Board agendas and minutes
- Parent, student, and teacher satisfaction surveys
- Participation at parent-teacher conferences, school advocacy events, participation in academic goal related programs

1c. Responsive Education Program

Schools with successful education programs have many of the characteristics below:

- Are self-reflective and examine practice based on outcomes against goals
- Have well-thought out curricular programs that are aligned with NYS learning outcomes as described by state standards and the new Common Core Curriculum.
- Use instructional models and resources consistent with school mission and that are flexible in addressing the needs of all learners
- Have defined strategies that they can measure and monitor for closing the achievement gap
- Offer defined opportunities for remediation and acceleration
- Implement a coherent and effective interim assessment system (e.g., use of formative, interim, and summative assessment data) for monitoring progress, predicting performance, and adjusting instruction
- Have an effective process for supporting improved classroom instruction, including frequent observation and feedback
- Have effective strategies and quality instructional programs for addressing students with special needs and ELLs
- Use a defined process for evaluating curricular tasks, programs and resources for effectiveness and fit with school mission and goals

Evidence for successful education programs, in addition to positive results, may include, but not be limited to, many of the following:

- Instructional planning documents (alignments, scope and sequences, curriculum maps, unit and lesson plans, etc)
- Student/teacher schedules
- Classroom observations
- Student Intervention / Response to Intervention program description and resources
- Interim assessment results
- Student and teacher portfolios
- Data findings; adjusted lesson plans
- Self-assessment documentation
- Professional development plans and resources

1d. Learning Environment

Schools with successful learning environments have many of the characteristics below:

- Have a strong culture that connects high academic and behavioral expectations in a way that motivates students to give their best effort academically and socially
- Use a comprehensive approach to student management, including positive behavioral expectations and a clear discipline policy to build and sustain a safe, orderly, and supportive classroom environment
- Provide for safe, respectful, efficient transitions, hallways, cafeteria, yard, etc.
- Have classrooms where academic risk-taking and student participation is encouraged and supported
- Provide opportunities for students to actively engage in their own learning and in the life of the school

- Have a formal or informal character education, social development, or citizenship program that provides opportunities to develop as individuals and citizens

Evidence for successful learning environments may include, but not be limited to, many of the following:

- School mission and articulated values
- Student management plan (code of conduct, school values, discipline policy, positive incentive system, etc.)
- Student attendance and retention rates
- Student discipline data
- DOE School Survey student results
- DOE School Survey parent and teacher safety and respect results
- Self-administered satisfaction survey results
- Leadership, staff, and, if appropriate, student interviews
- Classroom observations
- Scheduled student engagement opportunities (e.g., student advisory, internships, student government, student led conferences, peer tutoring, peer mediation, etc.)

2. Is the School a Fiscally Sound, Viable Organization?

2a. Governance Structure and Organizational Design

Schools with successful governance and organizational design structures have many of the characteristics below:

- Operate with a clearly articulated governance structure, compliant with its charter and all applicable laws and regulations
- Have a capable Board of Trustees with appropriate blend of skills and experiences to provide oversight and strategic direction to fulfill the mission and goals of its charter
- Have a Board that is fully compliant with all applicable laws and regulations, particularly but not limited to open-meeting laws and conflict of interest regulations
- Have developed a succession plan for board and school leadership, consistent with the charter and Board by-laws, to ensure continuity of direction and leadership over time and despite circumstance
- Implements a school leadership structure that is aligned with charter and that is sufficient to fulfill school's mission and achieve its accountability goals; it also has clear lines of accountability for leadership roles, accountability to Board, and, if applicable, relationship with a charter management organization
- Have timely and appropriate access to legal counsel
- Implemented a process for monitoring and evaluating the effectiveness of the school's organization and leadership structure
- Have instructional leadership staffing and support structures that holds staff accountable for student learning outcomes and provide regular feedback on instruction to teachers

Evidence for school governance and organizational design may include, but are not limited to, the following:

- School charter
- Board by-laws, roster, trustee resumes, meeting agenda and minutes
- Annual conflict of interest forms
- Staff roster, job descriptions, staff handbook, operations manual
- School calendar, professional development plan

2b. School Climate and Community Engagement

Schools with a sustaining school climate and engaged parent and community support have many of the characteristics below:

- A healthy professional school climate that is collaborative, student centered, and open to parents and community support
- An effective process for recruiting, hiring, supporting, and evaluating leadership and staff
- A flexible, data-driven approach to professional development for all staff
- An effective way of measuring and monitoring core constituency satisfaction (parent, staff, and, when age appropriate, student), including the DOE School Survey
- Effective home-school communication practices to ensure meaningful parent involvement in the learning of their children
- Strong community-based partnerships and advocacy for the school

Evidence for school climate and community engagement may include, but not be limited to, the following:

- DOE School Survey satisfaction parent, teacher, and, if appropriate student results
- Student retention and wait list data
- Staff retention data
- Leadership, staff, parent, student interviews
- Student and staff attendance rates
- Parent attendance at parent-teacher conferences
- Parent association meeting calendar and minutes
- Community partnerships and sponsored programs

2c. Financial and Operational Health

Schools that are responsible stewards of public funds and effective, sustaining organizations have many of the characteristics below:

- Consistently meet its student enrollment and retention targets
- Annual budgets that meets all short- and long-term financial responsibilities with available revenues
- School leadership and Board that oversee financial and operational responsibilities in a manner that keeps the school's mission and academic goals central to decision-making
- Boards and school leadership that maintain effective internal controls of finances to ensure integrity of financial management and a proactive approach to mitigating risk
- Consistently clean financial audits
- If applicable, strong, accountable partnerships with management organizations and other partners and significant vendors to support delivery of chartered school design and academic program
- A safe, clean and appropriately resourced educational facility with all appropriate services specified in charter and mandated by appropriate law and regulations

Evidence for a financially sound, viable organization may include, but not be limited to, the following:

- School budget, P&Ls, and monthly/quarterly cash-flow reports
- Appropriate insurance documents
- Required facility documents (lease, certificate of occupancy, fire and safety inspections, etc.)
- Financial audits
- Financial leader(s) resume and accountability documents
- Operational policies and procedures
- Operational org chart
- Secure storage areas for student and staff records
- Policies/protocols for maintaining secure records
- School safety plan

3. Is the School in Compliance with its Charter and All Applicable Law and Regulations?

3a. Approved Charter and Agreement

Schools in substantial compliance with their charter and agreement have:

- Implemented the key features of their charter as described in the original charter and as modified in approved revisions to their charter, including but not limited to mission, academic program, school organization, grade configuration, enrollment, goals, etc.
- Ensure that update-to-date charter is publicly available to staff, parents, and school community
- Implemented comprehensive academic, behavioral, oversight, management, and operational policies and procedures that are substantially aligned with the charter and the school's stated mission and vision

Evidence for a school's compliance with the terms of its charter and charter agreement may include, but not be limited to, the following:

- Authorized charter and signed agreement
- Charter revision request approval and documentation
- School mission
- School policies and procedures
- Site visits
- Board meetings, agendas and minutes
- Leadership/board interviews

3b. Applicable Federal and State Law

Schools in substantial compliance with federal and state law have:

- Met all legal requirements for Title I and IDEA regulations and reporting
- Comparable enrollment of FRL, ELL and Special Education students to those of their district of location *or* are making documented good faith efforts to reach comparable percentages
- Implemented school policies related to student discipline and promotion and retention that are fully compliant with laws and regulations related to students with disabilities and due process regulations
- Conducted independently verified fair and open lottery and manage with integrity enrollment process and annual waiting lists
- Employed instructional staff with appropriate security clearances and certification requirements

Evidence for compliance with applicable federal and state law may include, but not be limited to, the following:

- School reporting documents
- School's Annual Report
- Student recruitment plan and resources
- Student management policies and promotion and retention policies
- Student discipline records
- Lottery policy, resources, and records; enrollment procedures and records
- Staff roster, fingerprint clearance for all staff, certification status of all instructional staff

3c. Applicable Regulations

Schools in substantial compliance with applicable regulations have:

- Safe and secure facilities with no significant compliance concerns with applicable regulations
- Consistently clean annual audits, up-to-date escrow accounts, and have completed all other financial reporting as required
- Boards that meet requirements for size, meeting frequency, public notice, applicable open-meeting and conflict of interest regulations, as well as complying with NYC DOE CSO's requirements for reporting changes in board membership and securing approval for new board members.
- Informed NYCDOE CSO, and where required, received CSO approval for changes in significant partnerships, such as dropping/replacing a management organization
- Effectively engaged parent associations

Evidence for compliance with applicable regulations may include, but not be limited to, the following:

- School or building safety plan; appropriate inspection documents
- Annual audits, escrow accounts, other financial reporting documents
- Board roster, calendar, agenda and minutes, conflict of interest documents, notification of changes/approval of new member request documents
- Charter revision requests, revised or new contracts
- Parent association calendar of meetings, identified officers, parent association agenda and minutes, parent satisfaction survey results
- Interviews

4. What Are the School's Plans for its Next Charter Term?

4a. School Expansion or Model Replication

In anticipation of a new charter term schools may be considering various growth options: replication, expansion to new grades or increased enrollment or altering their model in some significant way.

Successful schools generally have processes for:

- Conducting needs/opportunity assessments
- Forming Board and leadership committees or subcommittees to investigate options, develop action plans, ensure capacity and resources are aligned, etc.
- Engaging school community in articulating charter revisions (or a new charter in cases of replication) to address the proposed growth plans
- Ensuring that the final proposal is ambitious but realistic in its plans
- Creating a well-reasoned and documented prospective for the school's new charter term and, if applicable, a new charter proposal (for replication)

Evidence for likely success in planning for school growth in a new charter term may include, but not be limited to, the following:

- Application Part I: Retroactive Analysis, including performance results and analyses of the current charter term
- Application Part II: Prospective Analysis, including mission, program description, governance, organization, budget, etc. for new term
- Leadership and Board interviews

4b. Organizational Sustainability

Successful schools consistently perform despite change. While there is no single path for ensuring sustainability, successful schools often have the following features:

- School anticipates organizational opportunities/needs and plans for resource development (human resource policies for growing your own talent, for example, or fundraising or budget management to take care of anticipated capital needs and to mitigate risks for the unexpected, or board development to bring new talent or specific needs-based expertise to the school)

Evidence for organizational sustainability may include, but not be limited to, the following:

- Board roster and resumes
- Board committees and minutes
- School organization chart
- Staff rosters
- Staff handbook
- Leadership and staff interviews
- Budget

4c. School or Model Improvements

Successful schools are thoughtful about the continued appropriateness of school design features and elements of their models. They:

- Review performance carefully and even if they don't make major changes through expansion or replication, they are careful to adjust elements to ensure continued and improved success.
- Develop plans to improve the school learning environment, including improving their facilities to expand program offerings and/or developing new partnerships to further the school's mission.

Evidence for successful improvements to a school's program or model may include, but not be limited to, the following:

- Application Part I: Retroactive Analysis, including performance results and analyses of the current charter term
- Application Part II: Prospective Analysis, including mission, program description, governance, organization, budget, etc. for new term
- Leadership and board interviews
- MOUs or contracts with partners